

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

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EXAMINER N. Sub

DATE CONSIDERED

9/15/06

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<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE


**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
NA	1A	2000090150A	03/31/2000	JAPAN				
NA	1B	WO 01/80124 A2	10/25/2001	International				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

NA ↑   <
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
N/A 	2A	Robert E. HOSKIN <i>et al.</i> , "Evidence on the Incremental Information Content of Additional Firm Disclosures Made Concurrently with Earnings," <u>Journal of Accounting Research</u> , Vol. 24 Supplement 1986, pages 1-32.					
	2B	Lawrence D. BROWN, "Earnings Surprise Research: Synthesis and Perspectives", <u>Financial Analysts Journal</u> , March/April 1997, pages 13-19.					
	2C	Charles M. C. LEE <i>et al.</i> , "What is the Intrinsic Value of the Dow?", <u>The Journal of Finance</u> , Vol. LIV, No. 5, October 1999, pages 1693-1741.					
	2D	Charles M. C. LEE, "Market Integration and Price Execution for NYSE-Listed Securities", <u>The Journal of Finance</u> , Vol. XLVIII, No. 3, July 1993, pages 1009-1038.					
	2E	Charles M. C. LEE <i>et al.</i> , "Volume, Volatility, and New York Stock Exchange Trading Halts", <u>The Journal of Finance</u> , Vol. XLIX, No. 1, March 1994, pages 183-214.					
	2F	Navin CHOPRA <i>et al.</i> , "Summing Up", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 811-812.					
	2G	Navin CHOPRA <i>et al.</i> , "Yes, Discounts on Closed-End Funds are a Sentiment Index", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 801-808.					
	2H	Charles M. C. LEE <i>et al.</i> , "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis", <u>The Review of Financial Studies</u> , Vol. 6, No. 2, 1993, pages 345-374.					
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	2J	Lawrence D. BROWN, "Influential Accounting Articles, Individuals, Ph.D. Granting Institutions and Faculties: A Citational Analysis", <u>Accounting, Organizations and Society</u> , Vol. 21, No. 7/8, October/November 1996, pages 723-754.					
	2K	Lawrence D. BROWN <i>et al.</i> , "Security Analyst Superiority Relative to Univariate Time-Series Models in Forecasting Quarterly Earnings", <u>Journal of Accounting and Economics</u> , Vol. 9, 1987, pages 61-87.					
	2L	Lawrence D. BROWN <i>et al.</i> , "An Evaluation of Alternative Proxies for the Market's Assessment of Unexpected Earnings", <u>Journal of Accounting and Economics</u> , Vol. 9, 1987, pages 159-193.					
N/A	2M	Lawrence D. BROWN <i>et al.</i> , "The Impact of Annual Earnings Announcements on Convergence of Beliefs", <u>The Accounting Review</u> , Vol. 67, No. 4, October 1992, pages 862-875.					

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N-S	3A	Lawrence D. BROWN, "Analyst Forecasting Errors: Additional Evidence", <u>Financial Analysts Journal</u> , November/December 1997, pages 81-88.
↑	3B	Praveen SINHA <i>et al.</i> , "A Re-Examination of Financial Analysts Differential Earnings Forecast Accuracy", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997, pages 1-42.
	3C	Leonard C. SOFFER <i>et al.</i> , "Post-Earnings Announcement Drift and the Dissemination of Predictable Information", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 305-331.
	3D	Jacob K. THOMAS, "Discussion of 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information', <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 333-340.
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	3F	Lawrence D. BROWN <i>et al.</i> , "Univariate Time-Series Models of Quarterly Accounting Earnings per Share: A Proposed Model", <u>Journal of Accounting Research</u> , Vol. 17, No. 1, Spring 1979, pages 179-189.
	3G	Lawrence D. BROWN, "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 295-320.
	3H	J. O'HANLON, "Commentary on: Lawrence D. Brown 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 321-323.
	3I	Jacob K. THOMAS, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 325-330.
↓	3J	Philip BROWN, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 331-335.
N-S	3K	Mark E. ZMIJEWSKI, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research' by L. Brown", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 337-342.

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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
N-1 ↑ ↓ N-1	4A	Lawrence D. BROWN, "Reply to Commentaries on "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 343-344.					
	4B	Lawrence D. BROWN, "A Test of the Reliability of Current Cost Disclosures", <u>ABACUS - A Journal of Accounting, Finance and Business Studies</u> , Vol. 30, No. 1, March 1994, pages 2-17.					
	4C	Lawrence D. BROWN, "The Impact of Announcement Timing on the Informativeness of Earnings and Dividends", <u>Journal of Accounting, Auditing &amp; Finance</u> , Vol. 9, No. 4, Fall 1994, pages 653-674.					
	4D	Lawrence D. BROWN <i>et al.</i> , "The Familiarity with and Perceived Quality of Accounting Journals: Views of Senior Accounting Faculty in Leading U.S. MBA Programs", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 11, No. 1-1, Summer 1994, pages 223-250.					
	4E	Adrian P. FITZSIMONS, <i>et al.</i> , "Harmonizing GAAP Differences Among the NAFTA Countries", <u>The CPA Journal</u> , May 1995, pages 43-44.					
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	4G	Lawrence D. BROWN <i>et al.</i> , "An Information Interpretation of Financial Analyst Superiority in Forecasting Earnings", <u>Journal of Accounting Review</u> , Vol. 25, No. 1, Spring 1997, pages 49-67.					
	4H	Lawrence D. BROWN, "Forecast Selection When All Forecasts are not Equally Recent", <u>International Journal of Forecasting</u> , Vol. 7, No. 3, 1991, pages 349-356.					
	4I	Lawrence D. BROWN <i>et al.</i> , "Capsules and Comments", <u>Journal of Accounting Research</u> , Vol. 29, No. 2, Autumn 1991, pages 382-385.					
	4J	Lawrence D. BROWN <i>et al.</i> , "Applying Citation Analysis to Evaluate the Research Contributions of Accounting Faculty and Doctoral Programs", <u>The Accounting Review</u> , Vol. LX, No. 2, April 1985, pages 262-277.					
4K	Lawrence D. BROWN, "Can ESP Yield Abnormal Returns?", <u>The Journal of Portfolio Management</u> , Vol. 23, No. 4, Summer 1997, pages 36-43.						
4L	Lawrence D. BROWN <i>et al.</i> , "Do Stock Prices Fully Reflect the Implications of Current Earnings for Future Earnings for ARI Firms?", <u>Journal of Accounting Research</u> , Vol. 38, No. 1, Spring 2000, pages 149-164.						

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N.J. ↑ ↓ N.J.	5A	Lawrence D. BROWN <i>et al.</i> , "The Association Between Nonearnings Disclosures by Small Firms and Positive Abnormal Returns", <u>The Accounting Review</u> , Vol. 68, No. 3, July 1993, pages 668-680.					
	5B	Lawrence D. BROWN <i>et al.</i> , "Adaptive Expectations, Time-Series Models, and Analysis Forecast Revision", <u>Journal of Accounting Research</u> , Vol. 17, No. 2, Autumn 1979, pages 341-351.					
	5C	Lawrence D. BROWN <i>et al.</i> , "Does the FASB Listen to Corporations?", <u>Journal of Business Finance &amp; Accounting</u> , Vol. 19, No. 5, September 1992, pages 715-731.					
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	5E	Kaushik I. AMIN <i>et al.</i> , "Option Trading, Price Discovery, and Earnings News Dissemination", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 2, Summer 1997, pages 153-192.					
	5F	Charles M. C. LEE <i>et al.</i> , "Investor Sentiment and the Closed-End Fund Puzzle", <u>The Journal of Finance</u> , Vol. XLVI, No. 1, March 1991, pages 75-109.					
	5G	Carolyn M. CALLAHAN <i>et al.</i> , "Accounting Information and Bid-Ask Spreads", <u>Accounting Horizons</u> , Vol. 11, No. 4, December 1997, pages 50-60.					
	5H	Charles M. C. LEE, "Accounting-Based Valuation: Impact on Business Practices and Research", <u>Accounting Horizons</u> , Vol. 13, No. 4, December 1999, pages 413-425.					
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5L	Charles M. C. LEE, "Measuring Wealth", <u>CA Magazine</u> , April 1996, pages 32-37.						
5M	Charles M. C. LEE <i>et al.</i> , "Inferring Trade Direction from Intraday Data", <u>The Journal of Finance</u> , Vol. XLVI, No. 2, June 1991, pages 733-746.						

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N <sub>2</sub>	6A	Charles M. C. LEE <i>et al.</i> , "Price Momentum and Trading Volume", <i>The Journal of Finance</i> , Vol. LV, No. 5, October 2000, pages 2017-2069.					
↑	6B	Charles M. C. LEE <i>et al.</i> , "Valuing the Dow: A Bottom-Up Approach", <i>Financial Analysts Journal</i> , Vol. 55, No. 5, September/October 1999, pages 4-23.					
	6C	Charles M. C. LEE, "Earnings News and Small Traders", <i>Journal of Accounting and Economics</i> , Vol. 15, No. 2/3, June/September 1992, pages 265-302.					
	6D	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, 'Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities'", <i>Accounting Horizons</i> , Vol. 10, No. 3, September 1996, pages 178-181.					
	6E	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, 'Proposed Statement of Financial Accounting Standards—Accounting for Certain Liabilities Related to Closure or Removal of Long-Lived Assets'", <i>Accounting Horizons</i> , Vol. 10, No. 4, December 1996, pages 137-141.					
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	6H	Martin M. HERZBERG <i>et al.</i> , "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <i>The Journal of Investing</i> , Summer 1999, pages 15-24.					
	6I	Susan D. KRISCHE <i>et al.</i> , "The Information Content of Analyst Stock Recommendations", First Draft: August 8, 2000, Current Draft: September 25, 2000, 40 pages.					
	6J	<a href="http://www.findarticles.com/m4PRN/1999/Oct_14/56284107/pl/article.html">www.findarticles.com/m4PRN/1999/Oct_14/56284107/pl/article.html</a> , printed February 5, 2001, 2 pages.					
	6K	<a href="http://my.zacks.com/?ALERT=www.zacks.com">http://my.zacks.com/?ALERT=www.zacks.com</a> , printed February 2, 2001, 6 pages.					
	6L	<a href="http://www.cianet.com/">http://www.cianet.com/</a> , printed February 5, 2001, 14 pages.					
	6M	<a href="http://www.factset.com/">http://www.factset.com/</a> , printed February 5, 2001, 10 pages.					
	6N	<a href="http://www.iexchange.com/">http://www.iexchange.com/</a> , printed February 5, 2001, 50 pages.					
	6O	<a href="http://www.validea.com/home/home.asp">http://www.validea.com/home/home.asp</a> , printed February 5, 2001, 26 pages.					
N <sub>2</sub>	6P	<a href="http://www.bulldogresearch.com/default.asp">http://www.bulldogresearch.com/default.asp</a> , printed February 5, 2001, 26 pages.					

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